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Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	NFC1P027
First Inventor	William B. CHAPMAN
Title	METHOD AND APPARATUS FOR TUNING A LASER
Express Mail Label No.	EF 397446131 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
*submit an original and a duplicate for fee processing*
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages 26]  
*(preferred arrangement set forth below)*
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawing(s) (35 U.S.C. 113) [Total Sheets 8] FIGS 1-6
5. Oath or Declaration [Total Pages 3]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63 (d))  
*(for continuation/divisional with Box 17 completed)*
    - i.  **DELETION OF INVENTOR(S)**  
*Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).*
6.  Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document(s))
10.  37 CFR 3.73(b) Statement  Power of (when there is an assignee)  Attorney
11.  English Translation Document (if applicable)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.  Other: - 1- Check for \$876.00 - 1- Request and Certification Under 35 USC 122(b)(2)(B)(i)

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76.

 Continuation  Divisional  Continuation-in-part (CIP)
of prior application No. 1

Prior application information

Examiner \_\_\_\_\_

Group 1 Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	(Insert Customer No. or Attach bar code label here)		<input checked="" type="checkbox"/> Correspondence address below
Name	CARY & KELLY, LLP		
Address	ATTN: Charles C. Cary 1875 Charleston Road		
City	Mountain View	State	California
Country	United States	Telephone	(650) 316-4011
Name (Print/Type)	Charles C. Cary	Registration No. (Attorney/Agent)	36,764
Signature			Date May 4, 2001

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 876)

## Complete if Known

Application Number	NOT YET ASSIGNED
Filing Date	May 4, 2001
First Named Inventor	CHAPMAN, William B.
Examiner Name	N/A
Group Art Unit	N/A
Attorney Docket No.	NFC1P027

METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																																																																	
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number <input type="text" value="50-1338"/></p> <p>Deposit Account Name <input type="text" value="CARY &amp; KELLY, LLP"/></p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p>		<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205 65 Surcharge - late filing fee or oath</td><td>\$0</td></tr> <tr><td>127</td><td>50</td><td>227 25 Surcharge - late provisional filing fee or cover sheet</td><td>\$0</td></tr> <tr><td>139</td><td>130</td><td>139 130 Non-English specification</td><td>\$0</td></tr> <tr><td>147</td><td>2,520</td><td>147 2 520 For filing a request for ex parte reexamination</td><td>\$0</td></tr> <tr><td>112</td><td>920*</td><td>112 920* Requesting publication of SIR prior to Examiner action</td><td>\$0</td></tr> <tr><td>113</td><td>1,840*</td><td>113 1,840* Requesting publication of SIR after Examiner action</td><td>\$0</td></tr> <tr><td>115</td><td>110</td><td>215 55 Extension for reply within first month</td><td>\$0</td></tr> <tr><td>116</td><td>390</td><td>216 195 Extension for reply within second month</td><td>\$0</td></tr> <tr><td>117</td><td>890</td><td>217 445 Extension for reply within third month</td><td>\$0</td></tr> <tr><td>118</td><td>1,390</td><td>218 695 Extension for reply within fourth month</td><td>\$0</td></tr> <tr><td>128</td><td>1,890</td><td>228 945 Extension for reply within fifth month</td><td>\$0</td></tr> <tr><td>119</td><td>310</td><td>219 155 Notice of Appeal</td><td>\$0</td></tr> <tr><td>120</td><td>310</td><td>220 155 Filing a brief in support of an appeal</td><td>\$0</td></tr> <tr><td>121</td><td>270</td><td>221 135 Request for oral hearing</td><td>\$0</td></tr> <tr><td>138</td><td>1,510</td><td>138 1,510 Petition to institute a public use proceeding</td><td>\$0</td></tr> <tr><td>140</td><td>110</td><td>240 55 Petition to revive - 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Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 40)

SUBMITTED BY		Complete if applicable		
Name (Print/Type)	Charles C. Cary	Registration No. (Attorney/Agent)	36,764	Telephone (650) 316-4011
Signature				Date May 4, 2001

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**REQUEST AND CERTIFICATION  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor	CHAPMAN, William B.
Title	METHOD AND APPARATUS FOR TUNING A LASER
Atty Docket Number	NFC1P027

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

04-May-2001

Date



Signature

Charles C. Cary Reg. # 36,764

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.